



ISSUER DEALER RENEWAL APPLICATION
NORTH DAKOTA SECURITIES DEPARTMENT
SFN 51532 (Rev. 11-2003)

FORM S - 6
Securities Department
600 E Boulevard Ave Dept 414
Bismarck ND 58505
(701) 328-2910
www.ndsecurities.com

NOTE: Registration of Dealers and Salesmen may be renewed each year at any time not less than 15 and not more than 60 days before December 31. This form is to be completed for dealer renewal.

1. Firm Name	Telephone Number
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Address		
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City	State	Zip Code
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Contact Person

2. If you have registered sales people in North Dakota, a list of those currently registered is enclosed. Please review this list for accuracy in renewing registrations. **Note:** A letter of resignation must be completed for each salesman whose registration will not be renewed and an application form (S-5) must be completed for each new registrant. Should you need an S-5 form, contact our website at www.ndsecurities.com.

3. It is hereby certified that since the last dealer renewal date, the North Dakota Securities Department has been notified by this dealer in writing of all material changes, if any, of a substantial nature that have taken place affecting the dealer, his officers, directors, partners, salesmen, and employees. This would include any disciplinary action or other proceedings that have been taken by any federal or state agency or by any national securities exchange or national securities association.

☐ Yes ☐ No

If "No", indicate exhibit here

4. It is further certified that in all cases where salesmen have left our employ for whatever reason, that a termination notice has been filed with the North Dakota Securities Department.

☐ Yes ☐ No

5. Describe the principal types of business engaged in by the registrant and types of securities being sold.

6. Enclose payment of proper fee for renewal of dealer and salesmen as provided in the North Dakota Securities Act:

For each dealer in this state	\$200.00
AND	
For each salesman listed on the enclosed form	\$ 60.00

Dated this _____ day of _____, year _____.

(Corporate Seal)

Name of Registered Dealer

Signature of Person Signing for the Registered Dealer

Title
